



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 5052

<b>SERIAL NUMBER</b> 10/757,953	<b>FILING OR 371(c) DATE</b> 01/15/2004 <b>RULE</b>	<b>CLASS</b> 434	<b>GROUP ART UNIT</b> 3714	<b>ATTORNEY DOCKET NO.</b> 94992/00001
------------------------------------	---	---------------------	-------------------------------	---

## APPLICANTS

Carl Frederick Nelson, Weston, MA;  
 Kirk Stephen Jordan, North Kingstown, RI;

Yes KYF

## \*\* CONTINUING DATA \*\*\*\*\*

None KYF

## \*\* FOREIGN APPLICATIONS \*\*\*\*\*

None KYF

## IF REQUIRED, FOREIGN FILING LICENSE GRANTED \*\*

04/22/2004

\*\* SMALL ENTITY \*\*

Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no	<b>STATE OR COUNTRY</b> MA	<b>SHEETS DRAWING</b> 6	<b>TOTAL CLAIMS</b> 69	<b>INDEPENDENT CLAIMS</b> 2
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged Examiner's Signature: <i>[Signature]</i> Initials: <i>KYF</i>				

## ADDRESS

27614

## TITLE

System and method for providing customized, effective, risk based ethics and compliance training and information using a network

<b>FILING FEE RECEIVED</b> 891	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees ( Filing )
		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit